



PATENT  
0505-4012

43

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit: Examiner:

Serial No.: 09/802,169 Confirmation No.: 1150

Title: AUTOMATED ORDER BOOK WITH CROWD PRICE IMPROVEMENT

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Dear Sir:

The Filing Receipt for the above-referenced application is incorrect because it lacks an attorney docket number. Please add the following attorney docket number:

0505-4012

as shown in red ink on the attached copy of the Filing Receipt.

Please issue a corrected Filing Receipt incorporating the requested correction.

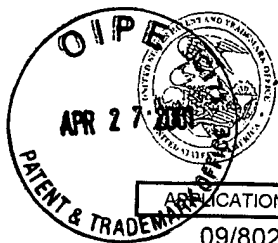
Please call the undersigned attorney if there are any questions.

Respectfully submitted,

Date: April 25, 2001

Brenda Pomerance  
Brenda Pomerance  
Reg. No. 36,894

Address:  
260 West 52 St. Apt. 27B  
New York, NY 10019  
voice/fax 212 245-3940



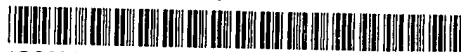
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20531  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/802,169	03/08/2001	2165	534	0565-4012	91	31	5

CONFIRMATION NO. 1150

FILING RECEIPT



\*OC000000005978897\*

Brenda Pomerance  
260 West 52 St. Apt. 27B  
New York, NY 10019

Date Mailed: 04/17/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Christopher Keith, New York, NY;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/546,031 04/10/2000

Foreign Applications

If Required, Foreign Filing License Granted 04/17/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

\*\* SMALL ENTITY \*\*

Title

Automated order book with crowd price improvement

Preliminary Class

705



PATENT  
0505-4012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit:

Examiner:

Serial No.: 09/802,169

Confirmation No.: 1150

Title: AUTOMATED ORDER BOOK WITH CROWD PRICE IMPROVEMENT

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Dear Sir:

Enclosed is a copy of a Notice to File Missing Parts in the above-referenced application, indicating that the Declaration is missing and a late filing fee surcharge of \$65 is due.

A signed Declaration was submitted with the application when filed. A copy of the original Declaration is attached. Applicant requests that the copy of the original Declaration be accepted.

Withdrawal of the late filing fee surcharge is also requested, since the Declaration was timely filed with the application.

Please call the undersigned attorney if there are any questions.

Respectfully submitted,

Date: April 25, 2001

*Brenda Pomerance*

Brenda Pomerance  
Reg. No. 36,894

Address:  
260 West 52 St. Apt. 27B  
New York, NY 10019  
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Seator  
PATENT  
0505-4012

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Christopher KEITH

Filed : March 8, 2001

Group Art Unit:

Examiner :

Serial No. : 09/802,169

Confirmation No.: 1150

For : AUTOMATED ORDER BOOK WITH CROWD PRICE  
IMPROVEMENT

**CERTIFICATE OF MAILING**

I hereby certify that the following attached paper(s) and/or fee

1. Response to Notice to File Missing Parts
2. Copy of signed Declaration
3. Copy of Notice to File Missing Parts
4. Request for Correction of Filing Receipt
5. Copy of Filing Receipt
6. Return receipt postcard

are being deposited with the United States Postal Service with sufficient postage as first class mail under 37 C.F.R. § 1.8 on the date indicated below in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, DC 20231.

Date: April 25, 2001

Brenda Pomerance  
Brenda Pomerance

CORRESPONDENCE ADDRESS:

Brenda Pomerance  
260 West 52 St. Apt. 27B  
New York, NY 10019  
212 245-3940



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/802,169	03/08/2001	Christopher Keith	

CONFIRMATION NO. 1150

## FORMALITIES LETTER



\*OC000000005978898\*

Brenda Pomerance  
260 West 52 St. Apt. 27B  
New York, NY 10019

Date Mailed: 04/17/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE